



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : St. Goar *et al.*  
Serial No. : 10/635,776  
Filed : August 5, 2003  
Title : METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR

Art Unit : 3732  
Examiner : Cary O'Connor

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT**

Attached is a copy of a filing receipt received from the PTO in the above-captioned application for which issuance of a corrected filing receipt is respectfully requested.

Under **APPLICANTS**, please insert the following corrected information:

--FREDERICK G. ST. GOAR, MENLO PARK, CA--  
--JAMES I-LIN FANN, PORTOLA VALLEY, CA--  
--MARK E. DEEM, MOUNTAIN VIEW, CA--  
--HANSON S. GIFFORD III, WOODSIDE, CA--

**REMARKS**

The instant application is a continuation of U.S. Application Serial No. 09/544,930. The instant application was filed by fewer than all of the inventors of the original parent application. A Statement Under CFR 1.63(d)(2) was filed with the instant application requesting the deletion of inventors Dieck, Martin, Wen-Chin Fan, Goldfarb, Dell, and Powell as inventors of the instant application. A copy of the Statement and the Utility Application Transmittal (including a ~~bar-~~ code stamped copy of the return receipt postcard) as filed on August 5, 2003, are enclosed.

Applicants respectfully request that this error be corrected and Applicants be provided a new Official Filing Receipt.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

May 22, 2006  
Date of Deposit

Signature

JONATHAN ONG  
Typed Name of Person Signing  
Certificate

Applicant : St. Goar et al.  
Serial No. : 10/635,776  
Filed : August 5, 2003  
Page : 2 of 2

Attorney's Docket No.: 17315-002001

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

☒ The Commissioner is hereby authorized to charge any fees that may be due in connection with this paper or with this application during its entire pendency to Deposit Account No. 06-1050.

Respectfully submitted,



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Fred C. Hernandez  
Reg. No. 41,832

Attorney Docket No. 17315-002001

**Address all correspondence to:**

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## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/635,776	08/05/2003	3732	771	17315-002001	84	50	6

CONFIRMATION NO. 1704

CORRECTED FILING RECEIPT



\*OC000000014093081\*

20985

FISH & RICHARDSON, PC  
12390 EL CAMINO REAL  
SAN DIEGO, CA 92130-2081

RECEIVED

OCT 18 2004

FISH & RICHARDSON, PC.  
SAN DIEGO

Date Mailed: 10/15/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Frederick G. St. Goar, Menlo Park, CA;  
James I-Lin Fann, Portola Valley, CA;  
Mark E. Deem, Mountain View, CA;  
Hanson S. Gifford III, Woodside, CA;  
~~Martin S. Dieck, Cupertino, CA;~~  
~~Brian B. Martin, Boulder Creek, CA;~~  
~~Sylvia Wen-Chin Fan, San Francisco, CA;~~  
~~Erik A. Goldfarb, San Francisco, CA;~~  
~~Kent D. Dell, Redwood City, CA;~~  
~~Ferolyn T. Powell, San Francisco, CA;~~

## Assignment For Published Patent Application

EVALVE, INC., Redwood City, CA

Power of Attorney: None

## Domestic Priority data as claimed by applicant

This application is a CON of 09/544,930 04/07/2000 PAT 6,629,534  
which claims benefit of 60/128,690 04/09/1999

## Foreign Applications

If Required, Foreign Filing License Granted: 11/04/2003

The country code and number of your priority application, to be used for filing abroad under the Paris

Reviewed By Practice Systems  
Initials: ✓  
Reviewed By Administrative Secretary  
Initials: C21

Convention, is **US10/635,776**

Projected Publication Date: Not Applicable

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\***

**Title**

Methods and apparatus for cardiac valve repair

**Preliminary Class**

623

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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✓ **IN THE UNITED STATES PATENT AND TRADEMARK OFFICE/  
CONTINUATION UTILITY PATENT APPLICATION  
FILING ACKNOWLEDGMENT**

Mailing Date:	August 5, 2003	Serial No.:	Unassigned	17497 U.S. PTO 10/635776
File No.:	020489-000140US	Attorney:	LMT/jke	 08/05/03
Applicant:	ST. GOAR, FREDERICK G.			
Title:	METHODS AND APPARATUS FOR CARDIAC VALVE REPAIR			

Please stamp the date of receipt of the enclosed documents and return this card to addressee

- ✓ 1 pg Utility Patent Application Transmittal
  - ✓ 2 pgs Fee Transmittal (duplicate)
  - ✓ 1 pg Statement under CFR §1.63(d)(2)
  - ✓ 3 pgs ADS
  - ✓ 4 pgs Declaration from Prior Application
  - ✓ 71 pgs Specification w/title page
  - ✓ 84 sheets FORMAL drawings
  - ✓ 1 Return Postcard
- 167 pages

EV348063586US



PTO/SB/05 (08-03)

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Attorney Docket No. 020489-000140US

First Inventor ST. GOAR, FREDERICK G.

Title METHODS AND APPARATUS FOR CARDIAC  
VALVE REPAIR

Express Mail Label No. EV 348063586US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning design patent application contents.

**ADDRESS TO**Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification w/title page [Total Pages 71 ]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 84 ]
5. Oath or Declaration [Total Pages 4 ]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)  
i. ☒ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper number of pages  
c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATIONS PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [Power of Attorney]  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure [Copies of IDS Citations]  
Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent
17. ☒ Other: Statement Under CFR §1.63(d)(2)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the  
specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)  
Prior application information: Examiner O'CONNOR, Cary E.

of prior application No: 09/544,930  
Art Unit: 3732

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by  
reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number

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OR ☐ Correspondence address below

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State

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Lynn M. Thompson

Registration No. (Attorney/Agent)

47,991

Signature

Date

August 5, 2003

60010087 v1



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

ST. GOAR, Frederick G. et al.

Application No.:

Filed:

For: METHODS AND APPARATUS  
FOR CARDIAC VALVE REPAIR

Examiner: Unassigned

Technology Center/Art Unit: 3732

**STATEMENT UNDER CFR §1.63(d)(2)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This statement requests the deletion of Martin S. Dieck, Brian B. Martin, Sylvia Wen-Chin Fan, Eric A. Goldfarb, Kent D. Dell, and Ferolyn T. Powell as an inventors for this continuation application (Attorney Docket Number 020489-000140US) which is a continuation of U.S. Application No. 09/544,930 (Attorney Docket Number 020489-000110US).

Respectfully submitted,

  
Lynn M. Thompson  
Reg. No. 47,991

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